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ABSTRACT

Merit system law, state personnel rules, and collective bargaining contracts require that Oregon state agencies appraise the performance of their employees. The heart of the Oregon performance appraisal system is work planning. Based on management by objectives and the concepts of employee involvement and participation, work planning is a process for individualizing the agency's plans and goals and reviewing progress at frequent intervals in a problem-solving atmosphere. Its main purpose is to clarify what the employee is to do, sustain interest in doing it, and focus attention on better ways of doing it. Performance appraisal is the manager's formal or official opinion of how well the employee has carried out the goals and plans. Performance appraisal involves a discussion between manager and employee so that the employee clearly understands the manager's conclusions about the employee's job performance. Step-by-step guidelines are offered to aid managers perform these functions. The appendix contains examples of position descriptions, work plans, and performance appraisal reports drawn from a variety of state agencies. (Author/MLF)

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WORK PLANNING AND PERFORMANCE APPRAISAL

A REFERENCE HANDBOOK FOR MANAGERS AND SUPERVISORS

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WORK PLANNING
AND
PERFORMANCE APPRAISAL

A REFERENCE HANDBOOK FOR MANAGERS AND SUPERVISORS

Written By

Jerry E. Batten

Revised July, 1977

EXECUTIVE DEPARTMENT
PERSONNEL DIVISION

TRAINING AND STAFF
DEVELOPMENT UNIT

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FOREWORD

This booklet on work planning and performance appraisal has been revised to reflect the major changes in the performance appraisal system as recommended by a special task force on performance appraisal and negotiated into the central collective bargaining contract.

The major changes in the system are in the areas of the use of work plans and in the design of the appraisal report form.

In the past, the emphasis of the work plan was on developing goals for solving problems and finding new or innovative ways of doing the job. Now, the emphasis is on pinpointing the high priority or key result areas and developing goals for those areas, regardless of whether they are in the routine, special project, or some other area of the job.

So, it is now important to write goals and develop work plans for any part of the job that the manager feels needs emphasis or attention, and to appraise employes accordingly.

The major change on the performance appraisal report form is that the original four summary evaluation categories have been redefined and extended to five as follows:

1. Makes superior contribution in many areas;

2. Achieves performance requirements, exceeding some;

3. Achieves performance requirements of the position in a satisfactory manner;

4. Fails to meet performance requirements in some areas and needs major improvements;

5. Fails to meet performance requirements in critical areas and needs major improvements.

Of course, there are other more subtle changes in the system, including a new instruction sheet for the PD-140, Performance Appraisal Report Form, and a new PD-122 Position Description Form and instructions.

These changes are all covered in this revised edition of "Work Planning and Performance Appraisal."

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SECTION ONE

UNDERLYING ASSUMPTIONS OF THE WORK PLANNING AND PERFORMANCE APPRAISAL SYSTEM

Changing Patterns in Management

It has become increasingly evident to both management practitioners and behavioral scientists that managers cannot simply order or compel their employes to perform in a desired manner; e.g., report to work on time, be attentive to their duties, maintain good housekeeping habits, follow safety and health rules, produce high quantity and quality output, etc. In the past, perhaps, managers could utilize traditional, authoritarian means (threaten disciplinary action, demotion, wage reduction, job loss) in order to attain these ends. Today, however, the use of negative motivation rarely improves employe performance or increases effectiveness, especially over long periods of time.

The reason for this is fairly clear. Up until about 30 years ago, people worked primarily to feed themselves and their families. Loss of work could mean severe hardship. However, the economic expansion in America has made jobs more plentiful than in the past and thus generally changed the relative pressure of many employes' needs.

As a result, many employes are seeking fulfillment of higher-level needs in their work organizations. These include important personal needs for such things as achievement, recognition, respect, and self-fulfillment. Since basic needs can be filled on most any job in any organization, employes are more likely to seek work and perform more effectively in organizations where they can satisfy some of their higher-level needs.

Managers who are able to meet these higher-level needs and thus increase the productivity and efficiency of their organizations have a different attitude toward their employes than do managers who predominately use negative motivational techniques. The differences in these attitudes and the corresponding managerial behavior have been well described in theory and supported in research studies.

Douglas McGregor(1) defined these differences very clearly in his writings. According to McGregor, the traditional manager believes that:

- Management is responsible for organizing the elements of production--money, materials, equipment, people--in the interest of economic ends.
- With respect to employes, this is a process of directing their efforts, controlling their actions, and modifying their behavior to fit the needs of the organization.

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(1) McGregor, Douglas, The Human Side of Enterprise, McGraw-Hill, New York, 1960.

- Without this active intervention by management, people would be passive--even resistant--to working toward organizational needs. They must therefore be persuaded, punished, controlled, and their activities directed. This is management's task in managing employes.

Behind this traditional theory of management there are several additional beliefs--less explicit, but widespread:

- The average employe is by nature lazy--he/she works as little as possible.
- Employes lack ambition, dislike responsibility, and prefer to be led.
- Employes are inherently self-centered and indifferent to organizational needs.
- Employes are by nature resistant to change.

Contrast this attitude toward human behavior with the assumptions applied by the modern manager. The modern manager believes that:

- It is true that management is responsible for organizing the elements of production--money, materials, equipment, people--in the interest of economic ends.
- However, employes are not by nature passive or resistant to organizational needs. They may become so as a result of experience in organizations.
- The motivation, the potential for development, the capacity of assuming responsibility, the readiness to direct behavior toward organizational goals are all present in employes. Management does not put these things into people. It is the responsibility of management to make it possible for people to recognize and develop these human characteristics for themselves.
- The essential task of management is to arrange organizational conditions and methods of operation so that people can achieve their goals best by directing their own efforts toward the objectives of the organization.

The traditional manager has an easy rationalization for ineffective performance; it is due to the nature and shortcomings of the human resources with which we must work. The modern manager, on the other hand, generally sees problems of motivation and performance as a managerial responsibility. If employes are lazy, indifferent, unwilling to take responsibility, uncreative, uncooperative, the modern manager believes the causes lie in management's methods of organization, motivation, assigning work, and control.

Many of McGregor's concepts have been supported through research by

Rensis Likert [2] at the University of Michigan. Likert's studies divided managers into two categories, low-producing and high-producing. Here is a summary of some of his findings:

- The common assumption that non-supervisory employes, given increased freedom, will loaf and fail to produce does not seem to be borne out by the evidence. The fact is, their behavior depends on conditions accompanying the freedom. Managers who achieve high performance in their work units set general goals and provide less specific direction than do the managers of low-producing units.

- High-producing managers encourage more employe participation and achieve higher employe involvement, greater interest in the work, and more responsibility for it than do low-producing managers.

- Low-producing managers, in keeping with traditional practice, feel that the way to motivate and direct behavior is to exercise control through power and authority. Jobs are minutely organized, methods are exactly prescribed, standards are rigidly set, and compliance is sought through the use of threats and other means of negative motivation.

In essence, to maintain high productivity and meet the interests and needs of the modern worker, jobs should be substantial, challenging, encourage growth and development, and allow for some self-expression and decision-making on the part of the individual worker. To accomplish this, managers will need to involve employes more in setting goals, planning work, and developing alternatives for getting results. This also means the manager will frequently need to give the employe feedback; let him/her know when things are done well, when there have been changes in agency goals or plans, etc., so the employe can adjust to the changing conditions quickly. In other words, managers will want to give their employes "a bigger piece of the action" if they want to achieve increased performance. However, this does not mean that managers will be giving up their authority and allowing employes to do whatever they please. The modern manager sets goals and communicates the results expected, then holds the employe accountable for achieving those results. If the employe falls short, the manager takes whatever action is necessary to correct the problem.

Management by Objectives

The shift of overall State management philosophy to a system of management by objectives has had a strong influence on the Oregon performance appraisal system.

The main thrust of management by objectives is to build into management

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(2) Likert, Rensis, New Patterns of Management, McGraw-Hill, 1961

systems an unremitting attention to purpose. Typically, the broad overall objectives of the agency are broken down into smaller, more manageable objectives with responsibility for carrying out these various objectives assigned to the various managers, department heads, and supervisors. In order for the numerous "departmental objectives" to successfully add up to the overall objectives of the agency, a great deal of communication and coordination are necessary.

With the early concepts of management by objectives no particular management style or theory was emphasized. It was assumed that management by objectives could be used as successfully by traditional managers as by modern types who encourage employe participation. Thus it was believed that goals could successfully be established solely by the manager, i.e. "your goal is to process 50 applications per month," or they could be jointly developed between employe and manager working together as a team.

When management by objectives has failed in organizations it is usually because of the assumption that managers have all the necessary information to set objectives for their employes. In these situations, the manager would rarely take time to communicate with employes about special conditions the employes might be facing or special resources they may need to carry out the objectives. Even more rarely would the manager ask the employes what they thought about the objectives or if there were other ways of doing things that might contribute to increased agency effectiveness.

To combat this failure, George Odiorne (3) developed the concept that management by objectives, to be effective, should be a total system of management rather than just a management tool. The main emphasis of Odiorne's approach is that agreement on objectives between the manager and employe is more important in getting an agency's objectives achieved than any other single ingredient in management practice. He proposes that all objectives, whether set from top down or bottom up in an organization, must be clearly understood and agreed upon by both the manager and employe.

Probably the best way to assure that the objectives are clearly understood and agreed upon is to subject them to a process of negotiation between manager and employe. This negotiation process requires that the manager and employe sit down together and talk about the more important aspects of the job until they can reach an understanding and agreement on the results they want to accomplish. It also requires that the manager move away from the traditional style of management and move toward more involvement and participation on the part of the employe.

Overview of the Oregon Work Planning and Performance Appraisal System

The fact that merit system law, state personnel rules, and collective bargaining contracts require that state agencies appraise the performance

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(3) Odiorne, George, Management by Objectives, Pittman Press, 1965.

of their employes does not guarantee the effectiveness of the appraisal process. However, modern managers realize performance appraisal can be a very powerful tool to improve the effectiveness of employes.

In addition to improving effectiveness, performance appraisal can provide some of the information an agency needs to make decisions on such things as:

- Who should be placed on special job or work assignments
- Who needs special training
- Who does and does not get a pay raise
- Who should be disciplined or discharged
- Who will be layed off during a cutback in staff

Based on management by objectives and the concepts of employe involvement and participation described by McGregor, Likert, and other authorities on modern management practices, the heart of the Oregon performance appraisal system is work planning. Work planning requires that the employe and manager work together to identify the important or key result areas of the job; those things that must be done. They then develop goals for those areas.

One of the most important aspects of work planning is that it is a joint activity between employe and manager. It doesn't really matter whether it is the employe or the manager who initiates the work plan. What is important is that they reach an agreement and commitment on the work to be accomplished within a given time period. It is this commitment that serves to motivate them both to accomplish the agreed-upon goals.

Work planning and periodic reviews of progress should be going on throughout the year. The manager then draws upon the results of this effort to use as basic information in completing the annual performance appraisal report.

The performance appraisal system has a revised format for the PD 140, Report of Performance Appraisal, form. Instead of four categories, as have been used in the past, the manager now has five:

1. Makes superior contribution in many areas;
2. Achieves performance requirements, exceeding some;
3. Achieves performance requirements of the position in a satisfactory manner;
4. Fails to meet performance requirements in some areas and needs major improvements;
5. Fails to meet performance requirements in critical areas and needs major improvements.

This highlights the Oregon system of work planning and performance appraisal. The system should give managers fewer crisis situations to contend with because the work will be well planned in advance, there will be better communication with employes, and through the use of progress review sessions, the manager will be able to stay on top of problems and thus have better control over the work in his/her unit. Employes, too, will be more satisfied because they will know what is important, what is expected of them, will be getting feedback from the manager as to how well they are doing, and will be meeting some of their higher-level needs by gaining a greater sense of achievement through involvement in the larger purposes of the agency.

SECTION TWO

WORK PLANNING

What's new about work planning? Not too much, really. Anyone who has planned a trip or a vacation can be successful at work planning. People plan their work everyday on the job; except under work planning the plans are (1) developed jointly between manager and employe, (2) the necessary steps of each plan are spelled out more clearly, (3) strong emphasis is placed on the results of the work, and (4) the plans are committed to writing to avoid misunderstanding.

Work Planning Step-By-Step

Here are six steps the manager should take to develop sound work plans.

Step One: Review the Job

How well do you know the employe's job? You may know it very well, but be careful about your assumptions. The employe may see the job differently. You should check your knowledge of the job on two counts:

- The job content, including duties and responsibilities.
- How closely you and the employe agree on what results are expected.

One way to do this is for you and the employe to jointly review the most recent position description for the job. Pay particular attention to the major or most important duties of the job and how time is divided among the duties. Work with the employe to bring the position description up-to-date if necessary. Try to clarify any areas where there is confusion or misunderstanding about duties. This assures that you and the employe see the job in the same way. It also helps to insure that you will develop work plans consistent with the level of responsibility reflected in the job classification.

Step Two: Identify the Areas for Work Planning

Experience has shown that work planning, to be effective, should be limited to key result areas. This can be anything in the job that you and the employe want to give some special attention or emphasis to over a specified future period of time.

The kinds of work that can be subjected to work planning are as broad as the creative imagination of the manager and the employe. For example:

- Any part of the job that needs special emphasis or attention.
- Any problem in getting the work done such as removing a barrier to meeting a deadline or coming to grips with a backlog.
- Any improvement in the flow or method of accomplishing work that the manager and employe agree needs to be tackled.
- Any preparation for change you both know is coming up, such as a new skill the employe needs to acquire to perform the job more effectively, a new law or rule that needs implementation, or a new way of using tools or equipment.
- Any special project that you are going to assign to the employe for the first time.
- Any special assignment for the employe to increase skill or broaden perspective.

As you attempt to identify areas for work planning, you should also be thinking about the priorities of the job. What is really top priority? Do the broader agency goals help decide what is most important to accomplish in this particular job? Work planning should be used to concentrate on the areas of the job that are the most important.

Step Three: Formulate Goals

Taking those areas of the job that you and the employe have agreed have high priority and need special attention, you should begin formulating work plan goals. You do this by:

- Writing down what it is you want accomplished--thinking more about the results you want than about the means of getting there.
- Specifying a reasonable time period in which to accomplish the results. The time can be two days, two weeks, two months, or even two years. What is a reasonable period of time for the particular results?
- Specifying some measure of accomplishment appropriate to what you want to do. Will it be less of something? More of something? A better quality of service? A higher level of acceptance? Completion by the due date, of course, is one good measure of success. What are some others?

It is important that goals be meaningful and easily understood. Basically, a well-stated goal is one that succeeds in communicating to the reader the writer's intent. It is meaningful to the extent it conveys to others a picture of what is to be accomplished (results) identical to the picture the writer has in mind. Since a statement of a goal is a collection of words and symbols, it is clear that various combinations may be used to express a given intent. What you are searching for is that group of words and symbols that will communicate your intent exactly as you understand it. The best statement is the one that excludes the greatest number of possible alternatives to your goal. Unfortunately, there are many "loaded" words that are open to a wide range of interpretation. To the extent that you use such words, you leave yourself open to misinterpretation. Consider the following examples of words in this light:

Words Open to Many Interpretations	Words Open to Fewer Interpretations
to know	to write
to understand	to recite
to appreciate	to identify
to enjoy	to list
to believe	to solve

Following are some important criteria to consider in writing goals:

1. A goal should be consistent with the philosophy and purpose of the organization.

2. A goal should be within the scope and function of the unit, supervisor, and staff.

3. A goal should be challenging, but within the ability of the employe or reasonably attainable with some instruction or assistance.

4. A goal should be attainable financially and otherwise.

5. A goal should specify the results desired in some measurable way.

6. A goal should be written for anything that needs special emphasis. Some examples are: (1) routine parts of a job that need attention; (2) improving employe performance; (3) solving special problems; (4) developing creative ways of doing things; and (5) training and development of employes.

The "mechanics" listed below can be helpful to those writing a goal for

the first time:

1. Begin all goals with the words "I will."
2. Follow "I will" with an action verb.
3. Specify the results desired.
4. Specify the completion date or span of time for achieving the goal.

Following is an example of a well-written goal:

> "I will write a new handbook on the performance appraisal system that will include the changes in the system that were negotiated into the 1977 central collective bargaining contract; the handbook will be ready for publication by September 1, 1977."

In summary, goals should be specific, understandable, challenging, achievable, feasible, and measurable.

Step Four: Determine Necessary Resources

Resources include people, money, time, materials, and space. Resources are always limited. How the employe uses his time, as well as the other resources available can be very important in accomplishing results. Try to specify in the work plan the resources the employe will need to be successful in reaching the goals.

Step Five: Identify Points of Coordination

This is a very important step because a work plan is usually a part of a larger plan. Your employe's project may depend on someone else completing some phase of the work before he/she gets it, or someone else may not be able to progress until your employe's project is complete. As part of the work plan, ask your employe to check and get agreement on schedules in the unit or department which need to mesh with his/her schedules.

Step Six: Set Review Dates for Follow-Up

No plan, no matter how well designed, is self-executing nor is it implemented automatically. Remember that your objective as a manager is to help keep plans progressing on schedule and to avoid any surprise, at the due date, that the project has run into difficulty. This is why follow-up action

should be specified right in the plan itself. How soon or how often the manager and the employe should get together to check on progress will depend on the nature of the goals and the length of time they cover.

At the end of the work planning session, you and your employe should review these six steps to be sure everything has been covered. We suggest you apply these questions to the work plan:

- ✓ Have key results been specified?
- ✓ Have priorities been established?
- ✓ Have we agreed upon ways progress will be measured?
- ✓ Have we determined the ways in which progress is to be reported to all who need to know?
- ✓ Are there adequate resources?
- ✓ Are there key coordination points of input and output and have we agreed upon what action is needed to insure coordination at these points?
- ✓ Will the results make an adequate contribution to unit and agency goals?

Progress Review

Authorities on work planning agree the employe needs supportive follow-up by the manager within a month or so of the initial work planning session. This action on your part gives you an opportunity to do two very important things. You should find out how things are going, and what is more important, demonstrate your commitment to work planning.

This first progress review session is really a checkpoint to see that the work plan is off to a good start. During this session you should create a problem-solving climate. You want the employe to understand that problems are not his/hers alone. The solution to problems is a joint effort. Have the employe brief you on progress so far. At this point, however, don't interject your solutions. Instead, ask the employe for recommendations, additions, or changes in work, priorities, timing, or whatever he/she feels will complete the goals. After listening to the employe's recommendations, you can give your ideas, then the two of you can work together to effect the changes necessary to get the results desired.

If the employe has made any serious errors or mistakes, now is a good time to take care of them. If you put them off, they may grow and become more costly. Some constructive criticism is often helpful. Confront the situation directly and help the employe recognize the mistakes made. This way the employe will probably learn from the experience and do better next time.

Above all, write down what both of you have committed yourselves to achieve. This will keep the work plan current and valuable as a management tool. This revised work plan should include any changes indicated in priorities, follow-up, completion dates, or resources. Also include any new or additional goals and actions each of you will take to increase the effectiveness of work in the months ahead. Don't consider the session complete until decisions for action have been reached and you have jointly committed yourselves to their implementation.

As work is accomplished, you should hold additional progress review sessions to add important new goals with their supporting tasks and due dates so that planning is always current and forward-looking. Once every three months is not usually too often to hold a progress review discussion with your employes.

Remember, these progress review discussions are not formal performance appraisal sessions designed to look back and evaluate what the employe has accomplished. They are future-oriented sessions designed to refine original work plans, examine alternatives which might be faster or more efficient ways to reach the goals, and to add new goals to the work plan as original goals are reached and work accomplished. They should be problem-solving sessions in which errors, barriers, and roadblocks are confronted and needed corrective action is discussed so the employe can make the necessary adjustments in performance. Most important of all, the manager does not store up issues until the annual performance appraisal discussion and surprise the employe with them at that time. In this system, problems are dealt with as they occur, with special goals established to overcome stubborn or serious deficiencies.

Improving Performance

One of the most beneficial results of work planning is in the area of performance improvement. The contribution of work planning to improved performance comes from:

- The thoughtful selection of high-priority goals and streamlining work down to essentials.
- The scheduling and coordinating of work and careful use of resources.
- Getting feedback information on progress which will identify errors, problems, and misunderstanding before the crisis stage is reached and while corrections can be made quickly and easily.

Another real payoff in improved performance comes from encouraging employes to solve problems and develop new approaches in their jobs. The thoughtful analysis of on-going work during the progress review is the key to

developing improved methods. Work planning can help in several ways:

- Focusing on the future when developing work plans helps create a climate in which manager and employe will look for new methods as they seek solutions to problems that arise.

- Work planning is an individual approach that provides the flexibility needed to assign work so as to take advantage of and build upon the particular strengths and skills of the employe. As you and your employes gain experience in work planning, you will probably become more aware of what the employes do well. You will also be able to identify the areas that offer the greatest potential for performance improvement. Goals can then be developed to cover those areas.

- Use of frequent pre-scheduled progress reviews ensures that a realistic amount of time is allocated and used for overcoming barriers to achieving the goals.

- Frequent progress review sessions gives sufficient control for the manager to risk encouraging some independent and exploratory activity which can lead to a distinctive personal contribution from the employe.

In closing, it's a good idea to always include at least one specific performance improvement goal in the employe's work plan.

Comments and Suggestions

At this point we would like to offer some suggestions passed on by managers who successfully use work planning and progress review.

Work planning focuses on individual jobs, but it helps to do work planning when you understand the goals of the managers above you and the agency priorities. Find out all you can about agency goals and priorities. This will help your employes think about their work plans and how they might contribute to agency goals. However, don't hesitate to get started on work plans that make sense in your own immediate setting. The best way to learn work planning is to start to do it, even if it's only a modest beginning. If you wait for ideal conditions, you and your employes may never begin the learning process.

Work planning is a joint process. Unless you are working with a new employe, the work plan should be developed jointly between manager and employe. It doesn't really matter who initiates the work plan, whether it is the manager or the employe. But it is extremely important that you both agree on the plan, the results to be accomplished, and the target dates for completion of the goals. It is this joint agreement that ensures joint commitment. Commitment on the part of the employe to accomplish the results, and commitment on the part of the manager to help the employe get the results.

Try not to get too technical. Don't try to quantify everything precisely. Concentrate your planning efforts where the planning will make a real difference and help you get the results you want.

No matter how unique a job may look, it always has some relationship to other jobs or some linkages with other people. Help your employes to think about items in their work plans that may need coordination or communication with others in order to get the results desired. You should ask questions about these coordination points, too, so that you are helping to keep plans realistic and within control of you and your employes.

There is a risk that some people will become so intent upon reaching the goals for new work that they may neglect the day-to-day work which must go on. You may have to remind these people that the day-to-day work is still a part of their job. In fact, goals should be set for the more important parts of this day-to-day work.

Don't become frustrated and discouraged because you experience difficulty in developing work plans. It may take some time before you become proficient in determining what you need to do, how to do it, and then using these goals and plans as controls over what you do.

SECTION THREE

APPRAISING PERFORMANCE

Isn't work planning a substitute for performance appraisal? This is a frequent misconception. It develops from the fact that many managers appraise employe performance on the basis of accomplishment against pre-established work plan goals. However, work planning and performance appraisal are quite different tools, designed to fill very different purposes.

For clarification, work planning is a process for individualizing the agency's plans and goals and reviewing progress at frequent intervals in a problem-solving atmosphere. Its main purpose is to clarify what the employe is to do, sustain interest in doing it and focus attention on better, more effective ways of doing it.

On the other hand, performance appraisal is the manager's formal or official opinion of how well the employe has carried out the agreed-upon goals and plans. In essence, it is the manager's evaluation of how well the employe is doing the job. Performance appraisal involves a discussion between manager and employe so that the employe clearly understands the manager's conclusions about the employe's job performance.

There is a definite relationship between the two processes. Goals and criteria established at the time the work plan was developed provides the basic information the manager needs to determine how well an employe is performing. If the goals were accomplished, then the employe is performing satisfactorily. If the employe exceeds or falls short of the goals, then he should be appraised accordingly.

The progress review sessions are also important. They provide information about changes in goals that were negotiated due to changes in priorities or unforeseen circumstances. These things certainly need to be taken into account when appraising performance, especially if problems beyond the control of the employe prevented him or her from reaching the agreed-upon goals.

Performance Appraisal Step-By-Step

There are some special steps the manager should follow in conducting a performance appraisal discussion with an employe.

Step One: Collect Information

The manager should be continually collecting information on how

the employe has been doing on the job. This information comes from the work plan and the manager's observations of how well the employe has carried out the goals that were agreed upon.

Step Two: Completing the Form

With the above information in mind, each manager should follow internal agency schedules for completing the Report of Performance Appraisal Form, (PD-140). Instructions accompany the form and should be followed.

Of special note is that the new appraisal form contains two separate sections on employe development, and a section on deficient performance.

Section I, B, on employe development is mandatory and refers to any training or development completed that contributes to updating knowledge or skill on the employe's present job.

The reference to career development under Section II, Summary of Special Goals, is optional and refers to developmental experiences completed that will contribute to the employe's future career goals.

Section III on Deficient Performance is mandatory if an appraisal summary rating of (4) or (5) in Section IV is given. It is critically important that any appraisal of deficient performance by based on a special work plan prepared when the substandard performance was first observed.

In completing the appraisal form, the manager should remember that the appraisal is an opinion of how well the employe has performed on the job during the appraisal period. Referring to the work plan helps the manager be as objective as possible in making this decision.

Step Three: Discuss the Appraisal with the Employe

The manager should set a specific time to discuss conclusions about the employe's performance with the employe. During the actual appraisal discussion the manager should concentrate on goals rather than personality traits unless a particular personality trait has been included in the work plan. The manager reviews the goals accomplished during the review period, rewarding with praise where appropriate, and not placing undue emphasis on goals that weren't reached.

The manager should share with the employe a copy of the appraisal report, giving the employe ample time to read it over. The employe should be encouraged to comment on the appraisal with the manager spending whatever time is needed to answer the employe's questions. Full discussions of points needing clarification is important, as well as listening to whatever is on the employe's mind. Most managers feel this type of discussion takes

about an hour.

The basis of the appraisal report should be made clear to the employe with examples cited wherever possible. However, the manager should not pretend that the conclusions on the appraisal report are more than opinions. If during the discussion the employe introduces important evidence or information that hadn't been considered before, the manager shouldn't hesitate to make changes in the report. To be open-minded in the face of new information is a continuing managerial responsibility.

The manager should avoid unnecessary criticism or dwelling on deficiencies during the appraisal discussion. If the manager has been conducting periodic progress review sessions during the year, the employe will already have a good idea of shortcomings or problems. Chances are the employe has already undertaken action to overcome these problems. Bringing them up again at this time will probably not result in improvements in performance. Nor should the manager save up errors that have occured over the months and bring them up at this time. Discussion of errors and necessary corrective or disciplinary action should take place at the time of the progress reviews, or even more preferably, right on the spot when they occur.

Experience has shown that dwelling on negative aspects will cause the employe to turn off and not hear some of the other things the manager has to say; or perhaps become defensive and argue all the points on the appraisal. In order to encourage continued striving for improved performance, the manager will want the appraisal discussion to be a positive experience for the employe.

The appraisal discussion should be concluded by letting the employe know about any special recommendations that will be made, such as a salary increase, special training program, new job assignment, etc. A date in the near future to begin discussion on a new work plan should also be set at this time.

After the discussion, the employe should sign the appraisal report; then the manager should route the report through the appropriate channels established by the agency.

Ethical Considerations

The term ethics refers to the moral practices you pursue in your managerial duties. As a manager you are responsible to protect the rights and human dignities of your employes.

In the appraisal process, managers make judgments about their employes' performance. When you make these judgments about individuals, you need to be aware of the ethical considerations involved. For example, your appraisal of an employe could affect not only his/her working relationship

with you, but possibly his/her career and ultimately the employe's future. With this consideration in mind, you want your appraisals to be objective, fair, and impartial.

Following is a list of things to remember when you make appraisal decisions.

- Make your appraisal on information that is representative, sufficient, and relevant. The appraisal system provides you with this type of information since it is based on performance and joint work planning rather than personality traits.

- Make an honest appraisal. Some managers find it extremely difficult to talk to employes about the need for improvement. They don't want to hurt the employe's feelings. They tend to talk as though everything were all right even though improvement is needed. If managers really want to help, they will face up to their managerial responsibilities and give the employe constructive criticism when it is needed.

- Keep written and oral appraisals consistent. Don't write what you won't say.

- Don't appraise people on the basis of their education, experience, status, or position in the hierarchy. Appraise them on their performance.

- Don't appraise on hearsay information or someone else's opinion of the employe. Appraise the person only on the basis of what you have observed or can document.

The manager should also be careful when communicating opinions about an employe's performance, because there is always the danger of the information being misinterpreted or misused by the receiver.

When you give out information about employe performance, there are three things you should do:

- Find out the reason for the request for the information before replying. Is the employe up for a promotion, being considered for a special assignment, being nominated for a training program? Make your reply consistent with the reason for the request.

- Be careful about giving out informal, off-hand opinions. An unsubstantiated comment can have serious consequences. Give out information only from accurate records.

- Give appraisal information only to those who have a legitimate need to know.

In conclusion, you should always be as objective, fair, and ethical as

possible when appraising employes and providing others with appraisal information. This way you avoid some of the negative consequences that can arise from the appraisal process.

SECTION FOUR

SOME IMPORTANT USES OF WORK PLANNING

Chances are the progress review or appraisal discussions will bring out important areas of the job that the manager and employe will want to consider for special attention. Areas where special goals might be particularly beneficial are in employe development and working with employes who are deficient performers.

Work Planning as a Developmental Tool

Many people feel that employe development is something that must go on in a classroom or outside of the job. However, modern managers know that work itself can be developmental. By using work planning, the manager has an excellent tool at his/her disposal for the development of employes.

For example, the work plan can include some new job elements that require new knowledge or skill or enhance employe strengths that have not been fully utilized.

Another suggestion would be to include in the work plan an assignment designed to broaden or deepen the experience of the employe in specific ways. Among the assignments a manager might consider could be those that bring the employe into new relationships within the agency and give a bigger picture of the organization's longer range plans.

An additional way to develop an employe is to give him/her a special problem to tackle along with additional help and guidance, or give the employe the freedom to work out a problem on his/her own in a systematic fashion. Of course, sending an employe to a class or workshop to learn more about the agency or job responsibilities can also be a developmental goal.

Actually, using work and work planning for development are limited only by a manager's imagination. By looking imaginatively at some of the trends and situational factors surrounding the job or the agency as a whole, the manager can usually identify several areas that offer opportunities for employe development.

The real key to employe development is to include at least one developmental goal in each work plan. By doing this, the manager can help make work and its accomplishment more meaningful and more satisfying for the employe.

Dealing with Deficient Performance

Work planning can also be useful in helping deficient performers bring their

performance up to acceptable levels. Caution should be used here so that the manager doesn't attempt to analyze the reasons for poor performance without first having adequate data or information. In this situation, the supervisor needs feedback or information from the employe before a solution to the problem can be worked out.

A good way to get information from the employe is to set up a special progress review discussion. Remember, this should be a problem-solving discussion, so don't take the employe to task.

Start the discussion by reviewing with the employe the parts of his/her performance that are causing concern. Cite examples wherever possible. Then, ask the employe what he/she thinks is causing the problem. Listen carefully to the employe's side of the story. Chances are that the employe has a pretty good idea of what's wrong.

After some agreement has been reached as to the causes of the employe's poor performance, a special work plan to overcome the problems can be developed. Three specific steps are recommended in setting up this work plan:

- Reduce the number of the employe's goals to a few of high priority. Make sure these goals are reasonable and achievable within the time span allotted.
- Clearly define the measurement part of the goals. Make sure this is specific enough so that the employe has a good chance of getting feedback about progress so he/she can make needed adjustments quickly.
- Shorten the time cycle. Reduce the time covered by the goals the employe is trying to achieve and schedule more frequent progress review sessions that are keyed to the smaller, tighter goals.

After the special work plan has been developed and agreed upon, the manager should follow up by conducting frequent progress review discussions with the employe. These can be held once a month, once a week, or even daily if necessary. During these review sessions the manager and employe should be evaluating their agreed-upon actions. Has the reduction in goals helped? Is the employe responding to feedback from the manager? Did spelling out the desired results in more detail help?

In addition, the manager should reinforce changes in the employe's behavior which indicate progress. Compliment the employe and let him/her know you are aware of the improvement. Most important of all, keep communication channels open by being available to the employe whenever he/she needs additional help or information.

If improvement doesn't occur within a reasonable length of time then a special appraisal should be completed that documents the problem areas and the manager's attempts to assist the employe overcome the deficiencies. Be sure to thoroughly discuss the appraisal with the employe.

If the special work plan and performance appraisal fail to produce improved performance then perhaps some other action such as a different work assignment for the employe should be considered.

Two very good books are recommended to those managers who want further information on how to deal with marginal performers: "Analyzing Performance Problems" by Robert F. Mager and Peter Pipe, Fearon Publishers, Belmont, California, 1970, and "Managing the Marginal and Unsatisfactory Performer" by Lawrence Steinmetz, Addison-Wesly Publishing Co., Reading, Massachusetts, 1969. Both books are available in paperback at low cost and offer detailed suggestions for working with marginal performers.

SECTION FIVE

THE JOB OF THE MANAGER

Establishing the Right Climate

Work planning and progress review discussions are joint efforts between manager and employe. As such they require that the manager encourage maximum participation from the employe. The amount of employe participation during these discussions is quite often dependent upon the type of climate the manager establishes. Ideally, the manager wants to establish a climate where collaboration and mutual problem-solving can take place.

Following are some suggestions for the manager who is getting ready to conduct a work planning or progress review discussion:

- Plan ahead
- Establish a good relationship
- Assure a good physical setting
- Encourage a smooth flow of conversation
- Be a good listener
- Summarize

Let's examine these suggestions in more detail.

First of all, plan ahead. Have a clear idea in mind of the results you want to achieve in the discussion. Be sure you have all the necessary facts and information you might need. Pick a time and place for the discussion so you are assured it will go smoothly.

Second, establish a good relationship with the employe. Set the employe at ease. Show interest in the employe and the work he/she is doing. Be sure the employe knows the purpose of the discussion.

Third, assure there is a good physical setting for the discussion. Be sure there is privacy. Arrange the room so it is pleasant and the employe can have eye contact with you without interference. Be sure the seating is comfortable and the lighting not glaring or too bright. If you don't have an office, find some privacy in a corner of the shop or off away from the rest of the crew.

Fourth, encourage a smooth flow of conversation and information. Be careful how you use questions. Use direct questions only when you want facts or specific information. Use open-ended questions when you want to get the employe's opinion or views. Be careful about the use of complicated words. Use plain English that everyone can understand. Make it a two-way conversation by encouraging the employe to talk. Don't donimate the discussion or try to "snow" the employe.

Fifth, and above all, be a good listener. Listen for nonverbal communications as well as what is said by observing facial expressions, body posture, etc. Give the employe your undivided attention by planning ahead to prevent interruptions such as phone calls, people dropping into the office, etc.

Finally, summarize the discussion to assure that there is agreement and understanding. If the discussion is lengthy, like an hour or more, it is wise to summarize two or three times at convenient breaks in the discussion. This provides the employe and you with the opportunity to correct any misunderstanding that may have developed during the conversation. Be sure to make notes of agreements reached and any changes in goals or plans so the work plan can be modified accordingly.

Coordinating the Work

A particular problem area that needs the manager's attention is that of coordination. Employe goals usually contribute to work unit goals which in turn contribute to the large agency goals. Work at these various levels can't go on in isolation. There must be communication and coordination. It is easy to become so immersed in the job that one forgets that other employes may be affected by goals and due dates. It is imperative that the manager frequently stress this important fact with employes.

Some managers have found that it is beneficial to hold group planning meetings with their employes so the overall work unit goals are clear to everyone. Individual employes are then better able to identify necessary resources, how their work contributes to the unit's goals, where the points of coordination exist, where the work comes from, where it goes upon completion, and who they must communicate with in order to achieve optimum results.

This group planning technique is also useful when a work unit is assigned a new goal that must be broken down into individual work plans. By using a group planning meeting, individuals can identify the areas where they can make the best contribution in keeping with their abilities and interests, then develop work plans for those aspects of the work. This technique has strong motivational characteristics because it gives the employes "a piece of the action" very early in the planning process.

Other Managerial Responsibilities

Throughout the work planning efforts the manager should be sure not to overlook any managerial responsibilities. The manager will want to pay particular attention to:

- Delegating sufficient authority to employes to carry out their work plans
- Providing employes with the resources needed to accomplish the goals
- Rewarding successful efforts with praise and recognition
- Making as great a commitment to employe success as the employe makes by establishing a collaborative, problem-solving climate and conducting frequent progress review discussions.

At times the manager may need to put forth some extra personal effort to remove roadblocks and barriers to employe success. Examples might be negotiating with agency administration on problems so additional time or resources can be obtained, clarifying unit and agency goals, and communicating with other departments and other managers where broad coordination efforts are required.

Since the manager is ultimately responsible for the results produced by his/her employes, it's wise to correct employe mistakes as quickly as possible. Don't be afraid to confront a problem situation. Constructive criticism given at the time an employe makes an error can often prevent a problem from growing and getting out of hand.

Summary

The manager's primary means of meeting agency goals effectively is the productivity of his/her employes. The cycle of work planning, progress review, and performance appraisal gives the manager a sound, yet flexible system for working with employes. It is one of the most up-to-date systems available for planning, communicating, coordinating, and evaluating work. After using the system for awhile, most managers find they have better control over what is happening in their unit and their employes are more highly motivated and more satisfied.

Work planning and progress review is a systematic tool for setting priorities, communicating and clarifying work expectations, for motivating employes and gaining commitment to accomplishment, for developing employes, and for improving employe performance.

It has become clear that the manager and employe who frequently review progress against goals in a cooperative problem-solving climate are much

more likely to accomplish desired results that those who do not conduct such discussions. It is also clear that identifying key result areas and structuring goals requiring improved performance, increased knowledge, increased skill, or a change in working methods stimulates employe growth and development and increases employe effectiveness.

Performance appraisal helps assure a careful evaluation of the employe's contribution and recognition of work well done. It provides a "warning system" for desired changes in performance. Performance appraisal gives the manager an opportunity to consider useful changes in job content and design which are likely to pay off in terms of the employe's development. It also gives objective information about individual employe contribution that will assist the manager in making sound recommendations about such things as training, job assignment, and salary increases.

As a closing reminder, a cooperative problem-solving climate requires that correction of employe mistakes be made in as positive a spirit as possible. This means the manager will want to avoid too much criticism of past failures while conducting discussions with employes. As mentioned earlier in the section on appraising performance, excessive criticism often turns the employe off or causes him/her to become defensive to the point where communication and cooperation are blocked. As a general rule, emphasis should be on how to do the job better in the future and thus improve performance and achieve greater results.

SECTION SIX

COMMON QUESTIONS AND ANSWERS

Q1. Where can I get help with this new system if I need it?

A1. Besides this handbook, resources include: films that provide a good overview of the system; these are available in some agencies and through the Personnel Division. The agency personnel officer and training officer can provide assistance in implementing the system. The Personnel Division has staff available for consultation on special problems. The bibliography in this handbook provides a list of suggested readings for managers who want a broader knowledge of the theory and application of the system.

Q2. Do I have to change my style of supervision to use the new system?

A2. Perhaps. To be successful with the new system, the manager will need to involve employes in setting goals, planning the work, etc. If you are used to giving orders and having your employes carry them out without discussion, you will probably have to make some changes so you can begin to involve your people more in deciding how things should be done. It is this involvement that motivates the employe to do a better job and increase performance.

Q3. Why is management by objectives such a good process?

A3. Mainly because it requires managers and employes to pay close attention to the agency's purpose and what it is trying to accomplish in the way of results. This prevents employes from getting caught up in activities that don't contribute to the goals.

Q4. How is work planning different from planning in general?

A4. The big difference is that it takes the overall plans or goals of an agency and breaks them down into individual plans for each employe. This helps everyone see more clearly what their individual job is and how it fits into the "big picture."

Q5. Am I required to do work planning with my employes?

A5. Merit system rules require the use of the new performance appraisal form (PD-140) for all classified employes. The evaluation of an employe's performance is to be based on accomplishments under work planning. If you haven't developed work plans with your employes, you won't have adequate information with which to make an objective evaluation of performance. You would have to rely on your personal impressions of the employe which

may not be job-related, and, or course, this is not very fair to the employe. Such appraisal will be in violation of Merit System Rules, and collective bargaining contracts where they exist.

Q6. Do I have to write new position descriptions for my employes before I can start developing work plans with them?

A6. Not if you have current position descriptions on file. Review these position descriptions with your employes to be sure there is clear understanding and agreement on the job to be done, then begin developing your work plans. If the position descriptions are old, you should probably work with your employes to update them.

Q7. What's the difference between a position description and a work plan?

A7. A position description generally outlines the basic duties and working conditions of the position. It doesn't contain information about priorities, goals, performance expectations, special projects, problems to solve, resources needed, etc. that the work plan provides.

Q8. How do I determine what my work unit's goals should be?

A8. Hopefully you and your boss have developed a work plan for your job as a manager. This work plan should provide good information about the goals and priorities for your unit. If you don't have a work plan for your job, you may have to take the initiative. Find out what the overall agency goals are and how your work unit fits into the agency's "master plan." Then prepare some goals for your unit and present them to your boss for approval or modification. Once this is done and your unit goals are established, you can begin breaking the goals down into individual work plans for your employes.

Q9. I'm confused. What's the difference between goals and objectives?

A9. This point has been argued for years. Some writers express goals as specific, measurable results and objectives as general or broad aims of a long-range nature. Others see them the other way around; that is, they see goals as the general, broad, long-range aim and objectives as specific measurable results. To avoid confusion and a lengthy discussion of what is meant by a goal or an objective, it is suggested that for work planning purposes the two terms be used interchangeably. Thus, a goal or an objective in a work plan should express the specific end result that you wish to accomplish.

Q10. How do I write goals that are measurable?

A10. This is hard to do without some practice. It is not unusual for

several attempts to take place before you become proficient. The key is for you and your employe to ask yourselves how you will both know when the goal has been accomplished satisfactorily. On what will you base this judgment? Ask yourself questions such as what, when, how much, how many. Above all, don't try to quantify everything perfectly. Many goals are too general or abstract for that. Even a simple thing like meeting a deadline or completing a project on time can be useful indications of success.

Q11. Why should I have to "negotiate" everything with an employe who is paid to do the job?

A11. By "negotiation" we mean pooling the information of the manager and employe, their examination of each other's perspectives, priorities and interests, and their joint exploration of the pros and cons of various courses of action. There are some important benefits derived from this process. First, this interaction usually results in a better understanding of each other's position and a reconciliation of differences. Second, the manager is able to obtain information from the employe that might not be obtained otherwise. With this more complete knowledge, the manager is better able to make sound decisions. Third, where areas of choice exist in the work, the employe has an opportunity to influence the choice in the direction of his/her interests and special abilities which contributes to higher motivation, commitment, and effectiveness.

Q12. What do I do with an employe who won't agree to anything?

A12. Managers and supervisors do have the authority to assign work, either by direct order or through a work plan. However, throughout this handbook we have emphasized negotiation and joint goal setting as the desirable way of developing work plans. Always try this approach first. Occasionally an employe, for one reason or another, will not respond to this process. If this happens, then you may need to take the initiative and develop a work plan for the employe. Be reasonable in setting up the plan, then hold the employe to it as closely as possible.

Q13. How often should I hold progress review sessions?

A13. This depends on the time span covered by the work plan. For goals that are complex and take several months to accomplish, it's a good idea to hold progress review discussions once every three months. However, keep the door and lines of communication open so the employe can discuss problems, strategies, etc. with you more often if this is necessary. For shorter range goals, shorten the time span accordingly. If you are attempting to improve the performance of a marginal employe, once a week or even daily progress review sessions may be necessary to get the desired results.

Q14. We never know from one year to the next what the Legislature will do or how much money we will have. How can we write goals under these conditions?

A14. This can happen in some agencies. Also, in some agencies the overall goals are, by choice, fluid and constantly changing. The work planning and progress review process can be of real help in these situations. First, an important part of work planning is assessing resources and developing goals in keeping with the resources that are available. As resources change, so should agency goals and priorities. Second, work planning forces agencies to frequently review their goals, rewrite them if necessary, then communicate them down the line to all who need to know. In this way employes can keep up with the changing goals and adjust their work plans accordingly so the agency doesn't end up going several different directions when changes take place.

Q15. Won't work planning just take up a lot of extra time and add to the paperwork of my job?

A15. Chances are you are already spending time with your employes trying to clear up misunderstandings and communications problems. The time spent on work planning probably won't take any more time than you're presently giving and should greatly reduce these problems. Even if things are running smoothly in your unit, the time you spend on work planning should pay off in terms of increased productivity and results from your employes. As far as the paperwork is concerned, if you and your employes prepare your work plans in an informal way, possibly even handwritten, and if you make whatever changes are needed throughout the year right on the original plan, the paperwork should not become a problem. Usually paperwork volume rises if plans are typed (with many copies) and retyped after each progress review. Another cause of excess paper volume is if the work is overplanned; that is, every small effort and detail written down. Using work planning primarily for high priorities and important areas where the effort will really make a difference in results should keep the paperwork down.

Q16. Isn't work planning a substitute for performance appraisal?

A16. This is a frequent misconception. It develops from the fact that many managers appraise performance on the basis of accomplishment against pre-established work plan goals. However, work planning and performance appraisal are quite different tools, designed to fill different purposes. For clarification, work planning is a process for individualizing the agency's plans and goals and reviewing progress at frequent intervals in a problem-solving atmosphere. Its main purpose is to clarify what the employe is to do, sustain interest in doing it and focus attention on better, more effective ways of doing it. On the other hand, performance appraisal is the manager's opinion of how well the employe has carried out the agreed-upon work plans and goals. In essence, it is the manager's evaluation of how well the employe is doing the job.

Q17. Most of my people do a lot of routine work. How do I measure their performance?

A17. Since work planning is a valuable communication tool as well as a valuable planning tool, it can be a great help to you in clarifying priorities and expectations on routine work. Follow the same procedure you would for developing goals for special projects or overcoming problems. That is, identify key result areas, discuss priorities, then establish criteria for accomplishment for those areas of the job you and the employe feel are the most important. This criteria (performance expected) will be valuable for you to refer back to at appraisal time. Did the employe meet the agreed-upon expectations, fall short of them, exceed them? You can then evaluate the employe accordingly.

Q18. What if the employe doesn't meet the goals that were agreed upon?

A18. First, approach this situation in a problem-solving way. Try to find out why the goals weren't accomplished. Ask yourself: were the goals clear and understood by the employe? Were the goals reasonable? Was sufficient time allowed? Were there adequate resources? Did the employe have to rely on someone else for part of the work and did they fulfill their responsibilities? Did you provide the employe with help when needed?

Chances are you will find the reason in an answer to one of these questions. If you do, renegotiate the goals and set up a new work plan to overcome whatever barriers or roadblocks occured.

If you don't find your answer in these questions, ask the employe what happened. Perhaps something you are not aware of interfered or kept the employe from reaching the goals. If the employe has a reasonable explanation, accept it and renegotiate the goals. If the employe does not have a reasonable explanation, perhaps you have a marginal employe on your hands. Review the suggestions for dealing with deficient performers in Section Four of this handbook and set up a new work plan based on those suggestions.

Q19. How are the performance appraisal reports used?

A19. The appraisal report provides the manager with excellent information upon which to base recommendations for such things as training programs, special job assignments, and pay increases. It is also used in determining layoffs. Copies of the appraisal reports are filed in the agency personnel office and in the Personnel Division.

Q20. Will the performance appraisal system help me document cases that become grievances, etc.?

A20. The work planning and performance appraisal system should certainly

help with those problems that are related to employe performance. Because duties, responsibilities, and performance expectations will be better communicated to and understood by the employe, grievances arising out of misunderstanding between employe and manager in this area should decrease appreciably. If grievances do arise around the area of performance, the work plans should provide excellent documentation of what was discussed and agreed upon. It is particularly important to use work plans and performance appraisal reports to document deficient performance. If performance continues to decrease, denial of salary increase or even dismissal may become necessary. In such a case, the work plans and appraisal reports will provide excellent evidence of your attempts to help the employe measure up.

Q21. Most of our goals can't be met by one person. We have a number of employes responsible for them. What do I do about that when writing work plans?

A21. Some goals are so large that several employes must work on them at the same time. It's okay to break a goal down into smaller parts and divide up the work among your employes. Just make sure they are not all working on the same part. To ensure good communication and coordination, try using the group planning method. This usually prevents unnecessary overlap and duplication of effort. You might even try letting your employes choose the parts of the goal each would prefer working on. This technique usually increases employe motivation and improves results.

Q22. I've tried to discuss performance with my employes in the past, but they never have much to say. How do I get them to talk about their work?

A22. Experience has shown that employes usually have a lot more to say than managers think they do. The key is to encourage them to talk and to establish an environment where they feel what they have to say is important. This is done by asking for their opinions and using their ideas and suggestions whenever possible. By doing this, it won't take long before they realize that you really want their participation and involvement.

Q23. How flexible can I be in using this system? Do I have to follow precisely the steps in this handbook?

A23. The only part of the system that must be followed exactly is the instructions attached to the PD-140, Report of Performance Appraisal. These instructions are spelled out in detail so there will be uniformity in reporting. The rest of the system can be modified to fit the particular needs of your agency, work unit, or employes. However, it is recommended that you follow the steps outlined in this handbook until you get a good feel of the system and where it would be most beneficial to make changes to suit your needs or situation.

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APPENDIX

This appendix contains examples of position descriptions, * work plans, and performance appraisal reports drawn from a variety of state agencies.

* For information on how to complete a position description, see the Personnel Division pamphlet, "Instructions for Preparing Position Descriptions, PD-122."

STATE OF OREGON
EXECUTIVE DEPARTMENT PERSONNEL DIVISION

POSITION DESCRIPTION

NEW POSITION ☐
REVISION/UPDATE XX

1. CLASS TITLE AS APPROVED BY THE PERSONNEL DIVISION	2. PLANNED EFFECTIVE DATE	3. POSITION INV. NO.
Clerical Assistant	8-1-76	5221
4. WORKING TITLE OF THE POSITION	**5. CLASS NO.**	**6. AGENCY NO.**
Receptionist	0007	461

7. AGENCY	8. WORK UNIT	9. LOCATION (CITY AND COUNTY)
Adult & Family Services	Salem Branch Office	Salem, Marion

10. EXCLUDED FROM BARGAINING UNIT—YES ☐ NO ☒ IF YES, CHECK ONE: SUPERVISOR ☐ CONFIDENTIAL ☐	11. ELIGIBLE FOR OVERTIME COMPENSATION YES ☒ NO ☐	12. STATE PROVIDED HOUSING MUST LIVE IN ☐ EMPLOYE'S OPTION ☐

13. POSITION IS—FULL-TIME ☒ PART-TIME *☐ PERMANENT ☒ LIMITED DURATION *☐ SEASONAL *☐
*DESCRIBE:

14. EMPLOYE NAME: Susan Jones

15. WHAT IS THE PURPOSE OF THIS POSITION? (SUMMARIZE IN ONE SENTENCE IF POSSIBLE)

Receptionist and telephone operator for Salem Branch Office, Adult & Family Services Division.

16. DESCRIPTION OF ASSIGNED DUTIES—DESCRIBE DUTIES IN TERMS OF "WHAT THE EMPLOYE DOES" RATHER THAN "WHAT GETS DONE." USE WORDS THAT GIVE A CLEAR PICTURE OF EACH DUTY. FOR THE "% OF TIME" COLUMN SHOW EITHER (1) WHAT PERCENT OF TIME IS SPENT FOR EACH DUTY OR (2) HOW OFTEN THE DUTY IS PERFORMED, I.E. MONTHLY, ETC.

16A. LIST THE **MAJOR** OR **MOST IMPORTANT** DUTIES THAT MUST BE PERFORMED TO ACCOMPLISH THE PURPOSE OF THE POSITION

	% OF TIME
Receives visitors and directs them to appropriate caseworkers.	25%
Answers phones, directing calls to appropriate caseworkers.	20%
Provides information on routine personal and telephone inquiries.	10%
Maintains files and records and pulls information as requested.	20%
Opens and distributes all incoming mail.	10%
Prepares all outgoing mail for pickup.	10%

16B. LIST THE **MINOR** OR **INCIDENTAL** DUTIES THE EMPLOYE **MUST** PERFORM

Prepares and types monthly statistical reports.

Orders and maintains supplies for office.

Maintains calendar and schedule of conference room.

17. EMPLOYE'S IMMEDIATE SUPERVISOR: NAME, CLASSIFICATION, WORKING TITLE, AND POSITION NO.

Betty Meredith, Administrative Assistant 1, Office Manager, 7215

18. SUPERVISORY DUTIES ASSIGNED TO THIS POSITION: None

- CHECK THE APPROPRIATE BOXES TO SHOW WHETHER THE EMPLOYE: (A) EFFECTIVELY RECOMMENDS HIRING ☐; (B) TRAINS AND ASSIGNS WORK ☐; (C) EFFECTIVELY RECOMMENDS DISCIPLINARY ACTION ☐; (D) COMPLETES PERFORMANCE APPRAISALS ☐; OR (E) COMPLETES PROMOTIONAL MERIT RATINGS ☐
- WHAT PERCENT OF TIME DOES THE EMPLOYE PERFORM THE SAME WORK AS SUBORDINATES? _____%
- LIST IMMEDIATE SUBORDINATES BY CLASSIFICATION AND WORKING TITLE. IF MORE THAN 5, SHOW NUMBER PER CLASS.

None

19. WORKING CONDITIONS

- CHECK APPROPRIATE HEALTH CLASSIFICATION GROUP FOR THIS POSITION:

GROUP 1 ☐ REQUIRES PHYSICAL ABILITIES TO PERFORM INSTANT OR SUSTAINED ARDUOUS PHYSICAL ACTIVITY.
GROUP 2 ☐ REQUIRES OCCASIONAL LIFTING AND EXERTION FOR SHORT PERIODS.
GROUP 3 XX VERY LIMITED PHYSICAL EXERTION.

- DESCRIBE THE PHYSICAL AND ENVIRONMENTAL CONDITIONS OF THIS POSITION. ALSO DESCRIBE SUCH CONDITIONS AS TRAVEL REQUIREMENTS AND UNUSUAL WORKING HOURS.

Frequent contact with public.

20. LIST REQUIRED SPECIAL SKILLS, LICENSES, OR CERTIFICATES.

Typing, central telephones.

21. EQUIPMENT, TOOLS, OR MACHINES

- IS THE OPERATION OF A MOTOR VEHICLE REQUIRED? YES ☐; NO XX
- LIST THE EQUIPMENT, TOOLS, OR MACHINES THAT ARE USED.

Electric typewriter
Central telephone system

22. EMPLOYE SIGNATURE	DATE	23. SUPERVISOR SIGNATURE	DATE
Susan Jones	2-15-77	Betty Meredith	2-15-77

NOTE: THE EMPLOYE'S SIGNATURE MEANS ONLY THAT THE EMPLOYE HAS REVIEWED THIS DESCRIPTION AND DOES NOT MEAN THAT THE EMPLOYE AGREES OR DISAGREES WITH THE DESCRIPTION.

24. APPROVED BY (APPOINTING AUTHORITY OR DESIGNEE): Bill Personnel — DATE: 2-18-77

FOR PERSONNEL DIVISION USE ONLY

SP*44632-1C

WORK PLAN FORMAT I

NAME: Susan Jones

POSITION: Clerical Assistant

DATE: 8-1-76

GOAL NO.	DESCRIPTION OF GOAL	CRITERIA FOR ACCOMPLISHMENT
Goal 1	I will handle my receptionist duties in an efficient manner.	Greet visitors promptly; treat visitors courteously; refer visitors to proper caseworkers; no more than one complaint per week (average) about my performance as a receptionist.
Goal 2	I will operate the phone system efficiently.	Answer calls promptly; courteous to all callers; direct calls to appropriate caseworkers; answer routine inquiries accurately; no more than one complaint per week (average) about my performance on the telephone.
Goal 3	I will sort and distribute all incoming mail by 11:00 a.m. and have all outgoing mail ready for pickup by 4:00 p.m. each day.	(Criteria included in goal.)
Goal 4	I will clean out the files. Send to archives files closed for over 2 years.	Files cleaned out by 5-1-77.
Goal 5	I will learn more about services and resources of office so more questions can be answered without having to refer so many "routine" calls to caseworkers.	Percentage of calls referred to caseworkers to decrease by 25% by 8-1-77.
Goal 6	I will learn how to take notes and type reports of the weekly administrative staff meetings.	Able to replace Linda for three weeks while she is on vacation in June.
Goal 7	I will take an accounting course at Chemeketa Community College in preparation for an accounting clerk position.	Accounting course completed by 7-1-77.

STATE OF OREGON

Executive Department—Personnel Division

INSTRUCTIONS FOR PREPARING THE REPORT OF PERFORMANCE APPRAISAL FORM

PURPOSE AND USE—The attached Report of Performance Appraisal form is designed to appraise employe performance in conjunction with class specifications, job descriptions, special instructions, and written work plans.

The main purpose of the Report of Performance Appraisal is to help develop and improve the performance of employes in state service. The report is also important in supplying information for decision making regarding pay increase and layoff decisions. It may also be used by agencies in determining future job placement, determining developmental needs of people, and selecting employes for special training.

WHO IS APPRAISED—Each newly appointed or newly promoted classified employe shall be appraised before the end of the trial service period. Each regular classified employe shall be appraised at least once each calendar year on a date established by the appointing authority. The Report of Performance Appraisal form should be completed to meet any required time schedules of action regarding salary, layoff, or other actions.

WHO DOES THE APPRAISAL—The Report of Performance Appraisal is to be done by the person designated as the immediate supervisor of the employe and reviewed by next higher level of management. The supervisor and the reviewer should discuss the appraisal and concur on the appraisal prior to discussing the appraisal with the employe.

WHAT IS APPRAISED—The work itself, and more importantly, the results of work accomplished are the emphasis of the Report of Performance Appraisal. The appraisal should compare an employe's performance with the goals which the supervisor and employe developed in the work plan(s) and consistent with the job description and class specifications. The performance appraisal **must** be supported by work plan(s) which cover the same period of time as the Report Period indicated on the Report of Performance Appraisal.

HOW TO PREPARE THE FORM

COMPLETE IN TRIPLICATE—The Report of Performance Appraisal is a three-copy form. Send all copies, signed, to the agency Personnel Section for the Appointing Authority signature. One copy will be returned to the employe.

HEADING OF THE FORM—Be sure to fill in all the items listed: Name of Employe, State Agency, Social Security Number, Class Number and Title, Section (Division, unit, branch, etc.), Report Period (Dates showing length of time covered by the appraisal). Indicate the appraisal is for either Trial Service, Annual, or Special Appraisal.

APPRAISAL SECTIONS—The Report of Performance Appraisal form is divided into 4 sections. Section I completion is **mandatory.** Section II is optional depending on the work plan(s) which may have been developed. Section III completion is **mandatory** if summary rating (4) or (5) in Section IV is given. Section IV completion is **mandatory.** Each section relates the appraisal of the employe's performance to the work plan(s) consistent with the job description and class specifications. Be sure thorough consideration is given to all items of the appraisal form.

APPRAISAL SECTIONS

SECTION I—SUMMARY OF MAJOR WORK ACCOMPLISHED—(Completion is Mandatory)

A) **Accomplishments within Regularly Scheduled Work**—This part asks for a summary overview of how **well** work was done during the appraisal period covered by the report. It should relate to the performance indicators developed in the work plan(s). It must be consistent with the job description and class specification.

B) **Employe Development Experiences**—This part asks for a summary appraisal of the development experiences included in the work plan(s) for increasing state-of-the-art job knowledges, skills, and abilities. Any developmental experiences accomplished during appraisal period, even if they did not get included in the work plan(s), should be included in this appraisal part. Any special assignments, on-the-job training, classroom training during work hours that are designed to update **present job performance** are examples of employe development experiences.

SECTION II—SUMMARY OF SPECIAL GOALS

Career Development or Innovative Performance—This Section is available for describing the achievements of special projects or innovative objectives included in the work plan(s), or otherwise accomplished, designed to expand the employe's career capabilities. Assignments in special programs, classes or workshops, or specifically designed innovative projects are examples of activities in this area. (Completion of this section is optional.)

SECTION III—DEFICIENT PERFORMANCE

Deficient Performance—This Section is available for describing deficiencies in employe performance during the appraisal period. The summary must be based upon the special work plan(s) prepared when substandard performance was observed. The summary should clearly describe the failures in overcoming the performance deficiencies. Completion of this Section is **mandatory** if appraisal summary rating (4) or (5) in Section IV is given.

SECTION IV—APPRAISAL SUMMARY (Completion is Mandatory)

The purpose of this section is to provide a summary assessment of the employe's major accomplishments in Section IA, IB and when appropriate Section II or III. Major accomplishments, if any, not specified in the work plan should also be included. This section should not merely repeat the statements in Section I and II, but rather, it should be a composite appraisal of the employe's total accomplishments for the report period.

Check one box and write any needed supporting comments in the space provided.

1. Makes superior contributions in many areas as described. This category should be reserved for those employes who are outstanding in their overall work. Examples must be cited supporting the employe's superior contribution.
2. Achieves performance requirements, exceeding some as described. This category refers to the employe who does a better-than-average job, and exceeds some expectations. Examples must be cited where the employe has exceeded expectations.
3. Achieves performance requirements of the position functions in a satisfactory manner. This category refers to the "average" employe who satisfactorily meets the standards of the job.
4. Fails to meet performance requirements in some areas and needs major improvement described in Section III. This category identifies the employe whose performance is less than average, has had a work plan(s) developed identifying the problem(s) and requirements needed to overcome the deficiencies, but there has not been sufficient performance improvement achieved.
5. Fails to meet performance requirements in critical areas and needs major improvement described in Section III. This category identifies the employe who has severe performance deficiencies as identified in the special work plan(s) and has failed to achieve the objectives defined.

SIGNATURES

IMPORTANT: Concurrence between the supervisor and the reviewer should be reached before the appraisal is discussed with or signed by the employe.

Supervisor's Signature: The immediate supervisor should be the person making the appraisal and verifying this by signature in the space provided. It is the responsibility of the supervisor to discuss the appraisal with the employe and obtain his/her signature.

Reviewer's Signature: The reviewer's signature signifies agreement with the supervisor's appraisal of the employe. No changes should be made in the appraisal after the employe signs.

Employe's Signature: The employe's signature only confirms the employe has read the appraisal and discussed it with the supervisor. If the employe disagrees with the content of the report, the supervisor should explain the employe's grievance rights. Employes refusing to sign should be advised of the consequences which may result in disciplinary action.

Appointing Authority: The appointing authority's signature confirms that correct procedures have been followed in arriving at the completed Report of Performance Appraisal.

PD-140 Rev. 7/77

Complete in Triplicate
Original for Department
Pink Copy for Personnel Division
and Blue Copy for Employe

STATE OF OREGON
Executive Department, Personnel Division

REPORT OF PERFORMANCE APPRAISAL

(READ INSTRUCTION SHEET PRIOR TO COMPLETING FORM)

NAME OF EMPLOYE		STATE AGENCY	
Susan Jones		Adult & Family Services Division	
SOCIAL SECURITY NO.	CLASS NO. AND TITLE		SECTION
551-92-5606	0007 Clerical Assistant		Salem Branch Office
REPORT PERIOD	RATING FOR:		
From: 8-1-76 Through: 7-31-77	Trial Service _____ Annual XX Special _____		

(if additional space is needed for comments, you may add extra pages.)

I. **SUMMARY OF MAJOR WORK ACCOMPLISHED** (Describe in A and B below the major work accomplishments during appraisal period. Completion of this section is mandatory.

A. **Regularly Scheduled Work.** (Describe how **well** major work was accomplished in the base or daily work segment of the work plan.)

Susan has done a good job of completing the major responsibilities of the position. Her handling of the public in the office as well as on the phone has been courteous and efficient. There have been no major problems.

B. **Employe Developement Experiences.** (Describe employe development experiences accomplished for increasing effectiveness in **present position**.)

Susan has learned how to record and type the minutes of the weekly administrative staff meetings. She is now available to fill in when the person who regularly does this is not available.

II. **SUMMARY OF SPECIAL GOALS** (if additional space is needed for comments, you may add extra pages.)

Career Development or Innovative Performance (Describe major innovative or special program accomplishments by the employe. For example: special project assignments, development seminars, or other activities for career development. Completion of this part is **optional.**

Susan completed an accounting course at Chemeketa Community College. She is working toward becoming an accounting clerk.

Susan also cleaned out the files and developed a new procedure so that they are now very up-to-date and accurate.

III. **DEFICIENT PERFORMANCE**

Deficient Performance (Describe empoye's failure to overcome performance deficiencies as defined in special performance work plan(s). Completion mandatory if appraisal summary (4) or (5) Section IV is given. See instructions before completing.)

None.

IV. **APPRAISAL SUMMARY:** (Check one category and write supporting comments in space provided, if needed. Completion of this section is **mandatory**.)

1. ☐ Makes superior contribution in many areas as described:
2. ☒ Achieves performance requirements, exceeding some as described:
3. ☐ Achieves performance requirements of the position in a satisfactory manner.
4. ☐ Fails to meet performance requirements in some areas and needs major improvements as described in Section III.
5. ☐ Fails to meet performance requirements in critical areas and needs major improvements as described in Section III.

Overall we have been well satisfied with Susan's performance. She has done better than was expected in some areas, and there have been no major problems.

Susan Jones 8-1-77
EMPLOYE DATE

Employe's signature is required only to confirm the supervisor has shown and discussed this appraisal with the employe and does not indicate agreement or disagreement.

Betty Wiesdick 8/1/77
SUPERVISOR DATE

Bill Personnel 8-2-77
REVIEWER DATE

Charley Administration 8/3/77
APPOINTING AUTHORITY DATE

SP 44658-105

STATE OF OREGON
EXECUTIVE DEPARTMENT PERSONNEL DIVISION

POSITION DESCRIPTION

NEW POSITION ☐
REVISION/UPDATE XX

1. CLASS TITLE AS APPROVED BY THE PERSONNEL DIVISION	2. PLANNED EFFECTIVE DATE	3. POSITION INV. NO.
Groundskeeper 1		7010.005
4. WORKING TITLE OF THE POSITION	5. CLASS NO.	6. AGENCY NO.
Groundskeeper	8035	392

7. AGENCY	8. WORK UNIT	9. LOCATION (CITY AND COUNTY)
State Hospital	Building & Grounds Maintenance	Salem, Marion

10. EXCLUDED FROM BARGAINING UNIT—YES ☐ NO XX IF YES, CHECK ONE: SUPERVISOR ☐ CONFIDENTIAL ☐	11. ELIGIBLE FOR OVERTIME COMPENSATION YES XX NO ☐	12. STATE PROVIDED HOUSING MUST LIVE IN ☐ EMPLOYE'S OPTION ☐
13. POSITION IS—FULL-TIME XX PART-TIME *☐ PERMANENT XX LIMITED DURATION *☐ SEASONAL *☐ *DESCRIBE:		14. EMPLOYE NAME Fred Bunch

15. WHAT IS THE PURPOSE OF THIS POSITION? (SUMMARIZE IN ONE SENTENCE IF POSSIBLE)

To maintain the grounds at the State Hospital.

16. DESCRIPTION OF ASSIGNED DUTIES—DESCRIBE DUTIES IN TERMS OF "WHAT THE EMPLOYE DOES" RATHER THAN "WHAT GETS DONE." USE WORDS THAT GIVE A CLEAR PICTURE OF EACH DUTY. FOR THE "% OF TIME" COLUMN SHOW EITHER (1) WHAT PERCENT OF TIME IS SPENT FOR EACH DUTY OR (2) HOW OFTEN THE DUTY IS PERFORMED, I.E. MONTHLY, ETC.

16A. LIST THE **MAJOR** OR **MOST IMPORTANT** DUTIES THAT MUST BE PERFORMED TO ACCOMPLISH THE PURPOSE OF THE POSITION

	% OF TIME
Mow lawns on grounds.	25%
Water lawns, plants, shrubs and trees.	20%
Mulch plants, shrubs and trees.	10%
Prune shrubs and trees.	10%
Spray plants, shrubs and trees.	10%
Fertilize plants, shrubs and trees.	15%
Do routine maintenance and repairs on equipment.	5%

16B. LIST THE **MINOR** OR **INCIDENTAL** DUTIES THE EMPLOYE **MUST** PERFORM

Rake leaves during Fall season.

Re-seed bare spots in lawns during Spring.

Prepare bouquets for reception area of administration building.

PD 122 R 3/77 USE EXTRA SHEETS IF NECESSARY

SEND ONE COPY (SIGNED) TO THE PERSONNEL DIVISION

17. EMPLOYE'S IMMEDIATE SUPERVISOR: NAME, CLASSIFICATION, WORKING TITLE, AND POSITION NO

Dave Lilly, Maintenance Foreman, 4106

18. SUPERVISORY DUTIES ASSIGNED TO THIS POSITION: None

- CHECK THE APPROPRIATE BOXES TO SHOW WHETHER THE EMPLOYE: (A) EFFECTIVELY RECOMMENDS HIRING ☐; (B) TRAINS AND ASSIGNS WORK ☐; (C) EFFECTIVELY RECOMMENDS DISCIPLINARY ACTION ☐; (D) COMPLETES PERFORMANCE APPRAISALS ☐; OR (E) COMPLETES PROMOTIONAL MERIT RATINGS ☐
- WHAT PERCENT OF TIME DOES THE EMPLOYE PERFORM THE SAME WORK AS SUBORDINATES? _____%
- LIST IMMEDIATE SUBORDINATES BY CLASSIFICATION AND WORKING TITLE. IF MORE THAN 5, SHOW NUMBER PER CLASS

19. WORKING CONDITIONS

- CHECK APPROPRIATE HEALTH CLASSIFICATION GROUP FOR THIS POSITION:

GROUP 1 ☐ REQUIRES PHYSICAL ABILITIES TO PERFORM INSTANT OR SUSTAINED ARDUOUS PHYSICAL ACTIVITY
GROUP 2 XX REQUIRES OCCASIONAL LIFTING AND EXERTION FOR SHORT PERIODS
GROUP 3 ☐ VERY LIMITED PHYSICAL EXERTION

- DESCRIBE THE PHYSICAL AND ENVIRONMENTAL CONDITIONS OF THIS POSITION. ALSO DESCRIBE SUCH CONDITIONS AS TRAVEL REQUIREMENTS AND UNUSUAL WORKING HOURS

Work is outdoors most of the year. Although little heavy lifting is required, work does require a lot of bending, climbing ladders, walking, and similar physical activities. Some dangers working with toxic sprays.

20. LIST REQUIRED SPECIAL SKILLS, LICENSES, OR CERTIFICATES

Driver's license.

21. EQUIPMENT, TOOLS, OR MACHINES

- IS THE OPERATION OF A MOTOR VEHICLE REQUIRED? YES XX NO ☐
- LIST THE EQUIPMENT, TOOLS, OR MACHINES THAT ARE USED

Self-propelled lawn mowers, tractors, mulching machine, spray equipment.

22. EMPLOYE SIGNATURE	DATE	23. SUPERVISOR SIGNATURE	DATE
Fred Bunch	5-29-76	Dave Lilly	5/29/76

NOTE: THE EMPLOYE'S SIGNATURE MEANS ONLY THAT THE EMPLOYE HAS REVIEWED THIS DESCRIPTION AND DOES NOT MEAN THAT THE EMPLOYE AGREES OR DISAGREES WITH THE DESCRIPTION.

24. APPROVED BY (APPOINTING AUTHORITY OR DESIGNEE) — DATE

Ralph Personnel — 5/30/76

FOR PERSONNEL DIVISION USE ONLY

SP*44852-105

WORK PLAN FORMAT II

Employe Fred Bunch

Working Title Groundskeeper

Manager Dave Lilly

Period of Work June 1, 1976 to May 31, 1977

Progress Review Dates September 1, 1976

December 1, 1976

February 1, 1977

Major Goals, Assignments and Projects in Priority Order	Agreed Upon Criteria for Accomplishment	Starting Date		Completion Date		Major Accomplishment and Work Not Yet Completed
		Est.	Actual	Est.	Actual	
I will maintain all the lawns on the grounds.	Lawns neatly mowed; watered & fertilized enough to stay green	on-going				
I will maintain the plants, shrubs, and trees on the grounds	Plants, shrubs, and trees healthy and neat in appearance.	on-going				
I will maintain the equipment I use.	Equipment is in good operating condition and is safe to use.	on-going				
I will work with the maintenance department in rebuilding the greenhouse.	Greenhouse to be ready for use by February 1, 1977.	9-1		2-1		
I will work with the county extension agent to learn about safe and suitable pesticides for use on the grounds.	Selection and purchase of appropriate pesticides by Jan. 1, 1977.	10-1		1-1		
Usually, major areas are limited to 5. In addition to direct program goals, consider indirect but supportive goals such as personnel development, methods improvement, safety, etc.	What are the results expected in quality and quantity. How will they be measured? Does the subordinate know that this is what is expected? Will there be sufficient manpower and budgetary resources.					

PD-140 Rev. 7/77

Complete in Triplicate
Original for Department
Pink Copy for Personnel Division
and Blue Copy for Employe

STATE OF OREGON
Executive Department, Personnel Division

REPORT OF PERFORMANCE APPRAISAL

(READ INSTRUCTION SHEET PRIOR TO COMPLETING FORM)

NAME OF EMPLOYE		STATE AGENCY	
Fred Bunch		State Hospital	
SOCIAL SECURITY NO	CLASS NO. AND TITLE		SECTION
333-01-7502	8035 Groundskeeper 1		Maintenance & Grounds
REPORT PERIOD	RATING FOR		
From: 6-1-76 Through: 5-31-77	Trial Service _____ Annual XX Special _____		

(if additional space is needed for comments, you may add extra pages.)

I. **SUMMARY OF MAJOR WORK ACCOMPLISHED** (Describe in A and B below the major work accomplishments during appraisal period. Completion of this section is mandatory.

A. **Regularly Scheduled Work.** (Describe how **well** major work was accomplished in the base or daily work segment of the work plan.)

Lawns, plants, shrubs, and trees were maintained adequately. There was little loss due to insects and disease, and the general appearance of the grounds is acceptable.

B. **Employe Developement Experiences.** (Describe employe development experiences accomplished for increasing effectiveness in **present position**.)

The employe attended a class on the use of various kinds of insect sprays. Use of some different sprays seems to be doing a better job of controlling the insects.

II. **SUMMARY OF SPECIAL GOALS** (If additional space is needed for comments, you may add extra pages.)

Career Development or Innovative Performance (Describe major innovative or special program accomplishments by the employe. For example: special project assignments, development seminars, or other activities for career development. Completion of this part is **optional.**

The employe planned the remodling of the greenhouse and supervised the rebuilding work. It was a good job; the greenhouse works OK.

III. **DEFICIENT PERFORMANCE**

Deficient Performance (Describe empoye's failure to overcome performance deficiencies as defined in special performance work plan(s). Completion mandatory if appraisal summary (4) or (5) Section IV is given. See instructions before completing.)

None.

IV. **APPRAISAL SUMMARY:** (Check one category and write supporting comments in space provided, if needed. Completion of this section is **mandatory**.)

1. ☐ Makes superior contribution in many areas as described:
2. ☐ Achieves performance requirements, exceeding some as described:
3. ☒ Achieves performance requirements of the position in a satisfactory manner.
4. ☐ Fails to meet performance requirements in some areas and needs major improvements as described in Section III.
5. ☐ Fails to meet performance requirements in critical areas and needs major improvements as described in Section III.

The employe does a good job as a groundskeeper for the State Hospital.

Fred Bunch — EMPLOYE — May 15, 1977 — DATE

Employe's signature is required only to confirm the supervisor has shown and discussed this appraisal with the employe and does not indicate agreement or disagreement.

Dave Lilly — SUPERVISOR — 5/15/77 — DATE

Ralph Personnel — REVIEWER — 5-16-77 — DATE

Robt Administrator — APPOINTING AUTHORITY — 5/18/77 — DATE

SP*44658-105

STATE OF OREGON
EXECUTIVE DEPARTMENT PERSONNEL DIVISION

NEW POSITION ☐
REVISION/UPDATE XX

POSITION DESCRIPTION

1 CLASS TITLE AS APPROVED BY THE PERSONNEL DIVISION	2 PLANNED EFFECTIVE DATE	3 POSITION INV. NO.
Administrative Analyst		0580.001
4 WORKING TITLE OF THE POSITION: Training Coordinator	5 CLASS NO: 0047	6 AGENCY NO: 105
7 AGENCY: Executive Dept.	8 WORK UNIT: Personnel Division	9 LOCATION (CITY AND COUNTY): Salem, Marion
10 EXCLUDED FROM BARGAINING UNIT — YES XX NO ☐ IF YES, CHECK ONE: SUPERVISOR ☐ CONFIDENTIAL XX	11 ELIGIBLE FOR OVERTIME COMPENSATION: YES ☐ NO XX	12 STATE PROVIDED HOUSING MUST LIVE IN ☐ EMPLOYE'S OPTION ☐
13 POSITION IS — FULL-TIME XX PART-TIME *☐ PERMANENT XX LIMITED DURATION *☐ SEASONAL *☐ *DESCRIBE:	14 EMPLOYE NAME: Ted Trainer	

15 WHAT IS THE PURPOSE OF THIS POSITION? (SUMMARIZE IN ONE SENTENCE IF POSSIBLE)

To provide consultation, design, development, implementation, coordination, and evaluation services on training policies, plans, programs and budgets at agency, interagency, and statewide levels.

16 DESCRIPTION OF ASSIGNED DUTIES — DESCRIBE DUTIES IN TERMS OF "WHAT THE EMPLOYE DOES" RATHER THAN "WHAT GETS DONE." USE WORDS THAT GIVE A CLEAR PICTURE OF EACH DUTY. FOR THE "% OF TIME" COLUMN SHOW EITHER (1) WHAT PERCENT OF TIME IS SPENT FOR EACH DUTY OR (2) HOW OFTEN THE DUTY IS PERFORMED, I.E. MONTHLY, ETC.

16A LIST THE **MAJOR** OR **MOST IMPORTANT** DUTIES THAT MUST BE PERFORMED TO ACCOMPLISH THE PURPOSE OF THE POSITION — % OF TIME

1. Recommend statewide and interagency training goals and objectives.
2. Consult with agencies and Executive Department on statewide and agency training needs and problems.
3. Communicate information on training and related issues to agencies.
4. Determine the need for new training methods, materials, techniques, and approaches.
5. Design training to support new statewide policies and programs.
6. Determine the best statewide training delivery systems.
7. Implement new policies and procedures through training programs.
8. Write guides and handbooks on training and related issues.
9. Research and develop new statewide and interagency training programs.
10. Explore systems, models, and alternatives for delivery of statewide training.
11. Supervise contractors.
12. Analyze cost effectiveness of statewide, interagency, and agency training programs.
13. Review, recommend, and consult on agency training budgets.
14. Coordinate review of agency training budgets with Budget Division.
15. Coordinate training programs, conferences, and workshops.
16. Coordinate delivery of resources with outside consultants, vendors, and contractors.
17. Train agency trainers in the latest training knowledge, skills, and program delivery systems.
18. Prepare training program and course announcements.
19. Obtain and schedule training facilities.
20. Conduct and instruct training programs.
21. Repair and maintain audio-visual equipment and materials.
22. Establish general training program evaluation criteria and standards.
23. Evaluate services of outside vendors, consultants, and contractors.
24. Recommend policy and program changes based on evaluation information.
25. Evaluate interagency training programs and instructors.

16B LIST THE **MINOR** OR **INCIDENTAL** DUTIES THE EMPLOYE **MUST** PERFORM

All important duties are listed above.

17. EMPLOYE'S IMMEDIATE SUPERVISOR: NAME, CLASSIFICATION, WORKING TITLE, AND POSITION NO

Mary Manager, Principal Administrative Analyst, Manager--Training Unit, 0049

18. SUPERVISORY DUTIES ASSIGNED TO THIS POSITION: None

- CHECK THE APPROPRIATE BOXES TO SHOW WHETHER THE EMPLOYE: (A) EFFECTIVELY RECOMMENDS HIRING ☐; (B) TRAINS AND ASSIGNS WORK ☐; (C) EFFECTIVELY RECOMMENDS DISCIPLINARY ACTION ☐; (D) COMPLETES PERFORMANCE APPRAISALS ☐; OR (E) COMPLETES PROMOTIONAL MERIT RATINGS ☐
- WHAT PERCENT OF TIME DOES THE EMPLOYE PERFORM THE SAME WORK AS SUBORDINATES? _____%
- LIST IMMEDIATE SUBORDINATES BY CLASSIFICATION AND WORKING TITLE. IF MORE THAN 5, SHOW NUMBER PER CLASS

19. WORKING CONDITIONS

- CHECK APPROPRIATE HEALTH CLASSIFICATION GROUP FOR THIS POSITION:

GROUP 1 ☐ REQUIRES PHYSICAL ABILITIES TO PERFORM INSTANT OR SUSTAINED ARDUOUS PHYSICAL ACTIVITY
GROUP 2 ☒ REQUIRES OCCASIONAL LIFTING AND EXERTION FOR SHORT PERIODS
GROUP 3 ☐ VERY LIMITED PHYSICAL EXERTION

- DESCRIBE THE PHYSICAL AND ENVIRONMENTAL CONDITIONS OF THIS POSITION. ALSO DESCRIBE SUCH CONDITIONS AS TRAVEL REQUIREMENTS AND UNUSUAL WORKING HOURS

Must be able to lift heavy audio-visual equipment, work long hours at periodic intervals, and travel for up to a week at a time, largely within the state.

20. LIST REQUIRED SPECIAL SKILLS, LICENSES, OR CERTIFICATES

Basic knowledge of personnel and training as a managerial support system. Up-to-date knowledge of training and development as a managerial tool in a large and multi-functional setting.

21. EQUIPMENT, TOOLS, OR MACHINES

- IS THE OPERATION OF A MOTOR VEHICLE REQUIRED? YES ☒ NO ☐
- LIST THE EQUIPMENT, TOOLS, OR MACHINES THAT ARE USED

Training tools.
Audio-visual equipment.

22. EMPLOYE SIGNATURE	DATE	23. SUPERVISOR SIGNATURE	DATE
Ted Trainer	9-1-76	Mary Manager	9/1/76
		24. APPROVED BY (APPOINTING AUTHORITY OR DESIGNEE)	DATE
		Lyn Personnel	9/3/76

NOTE: THE EMPLOYE'S SIGNATURE MEANS ONLY THAT THE EMPLOYE HAS REVIEWED THIS DESCRIPTION AND DOES NOT MEAN THAT THE EMPLOYE AGREES OR DISAGREES WITH THE DESCRIPTION

FOR PERSONNEL DIVISION USE ONLY

SP-44652-105

WORK PLAN FORMAT III

Employe Ted Trainer

Working Title Training Coordinator

Supervisor Mary Manager

Work Period Covered Sept. 1, 1976--Aug. 31, 1977

Review Dates December 1, 1976

March 1, 1977

June 1, 1977

Goals and Action Required to Accomplish These Goals	Criteria for Accomplishment	Resources Required	Coordination Consideration	Dates	
				Start	Complete
I will consult with agencies on training and related high-priority problem areas.	Consultation provided promptly upon agency request.		In cooperation with agency personnel and training officers.	on-going	
I will schedule and coordinate on-going training programs such as Instructor Training, B.T.E., and Advanced Management Seminar on an "as needed" basis.	Sessions scheduled and conducted whenever there is sufficient demand; "stand-by list" not to exceed 25 for any "on-going" program.	Stand-by supply of workbooks; locate adequate facilities.	Coordinate schedules and announcements so as not to conflict with other training sessions.	on-going	
I will coordinate and edit training publication,"The Training Post."	Published monthly by the 1st each month.	$100.00 per month publication cost.	Coordinate with training unit staff.	on-going	
I will coordinate meetings for agency training managers.	Meetings to be held quarterly.		Coordinate agenda with Training Manager Task Force. Coordinate meetings with training unit staff.	on-going	
List in Order of Priority	How will we know when the goal is accomplished? What are the guidelines for accomplishment?	Finances, manpower, equipment, etc.	Who else will be affected or have part in this work.	Some dates may be of a continuous nature.	

WORK PLAN FORMAT III

Employe Ted Trainer (cont.)

Working Title

Supervisor

Work Period Covered

Review Dates

Goals and Action Required to Accomplish These Goals	Criteria for Accomplishment	Resources Required	Coordination Consideration	Dates	
				Start	Complete
I will develop program guidelines and curriculum for training managers and personnel officers in upward mobility planning and programming.	Program guidelines and curriculum to be completed by Nov. 30, 1976		Coordinate with Training Unit staff.	3-1-76	11-30-76
I will adapt the Time Management course for hand-off to agencies.	Course materials printed and handed-off to agencies by 4-1-77.	$200.00 for printing and notebooks.	None	11-1-76	4-1-77
I will up-date and revise for hand-off the four evening supervisory courses.	Course revised and ready for hand-off by 8-1-77.	$500.00 for printing and notebooks.	Coordinate with evening instructors and copy center.	12-1-76	8-1-77
I will do a needs assessment on the training needs of the agency personnel officers.	Training needs assessed and "tabulated" by February 1, 1977.	$1,200 for Consultant to conduct a needs assessment workshop.	Coordinate with agency personnel officers.	11-1-76	2-1-77
List in Order of Priority	How will we know when the goal is accomplished? What are the guidelines for accomplishment?	Finances, manpower, equipment, etc.	Who else will be affected or have part in this work.	Some dates may be of a continuous nature.	

WORK PLAN FORMAT III

Employe Ted Trainer (cont.)

Working Title

Supervisor

Work Period Covered

Review Dates

Goals and Action Required to Accomplish These Goals	Criteria for Accomplishment	Resources Required	Coordination Consideration	Dates	
				Start	Complete
I will up-date and revise the performance appraisal course material.	Material will be current and in a form that is easy to hand-off; will be revised by Aug. 1, 1977.		Task Force on performance appraisal; new collective bargaining contract.	3-1-77	8-1-77
List in Order of Priority	How will we know when the goal is accomplished? What are the guidelines for accomplishment?	Finances, manpower, equipment, etc.	Who else will be affected or have part in this work.	Some dates may be of a continuous nature.	

PD-140 Rev. 7/77

Complete in Triplicate:
Original for Department
Pink Copy for Personnel Division
and Blue Copy for Employe

STATE OF OREGON
Executive Department, Personnel Division

REPORT OF PERFORMANCE APPRAISAL

(READ INSTRUCTION SHEET PRIOR TO COMPLETING FORM)

NAME OF EMPLOYE		STATE AGENCY	
Ted Trainer		Executive Department	
SOCIAL SECURITY NO.	CLASS NO. AND TITLE		SECTION
973-71-8801	0047	Administrative Analyst	Personnel Division
REPORT PERIOD		RATING FOR:	
From: 9-1-76 Through: 8-31-77		Trial Service _____ Annual XX Special _____	

(if additional space is needed for comments, you may add extra pages.)

I. **SUMMARY OF MAJOR WORK ACCOMPLISHED** (Describe in A and B below the major work accomplishments during appraisal period. Completion of this section is mandatory.

A. **Regularly Scheduled Work.** (Describe how **well** major work was accomplished in the base or daily work segment of the work plan.)

The regularly scheduled work was done in a timely manner and the quality was high. In a number of instances the employe discovered short-cuts that improved the efficiency of his performance.

B. **Employe Development Experiences.** (Describe employe development experiences accomplished for increasing effectiveness in **present position**.)

The employe attended a regional "American Society for Training and Development" meeting in Portland and returned with several new ideas about training that show promise.

II **SUMMARY OF SPECIAL GOALS** (if additional space is needed for comments, you may add extra pages.)

Career Development or Innovative Performance (Describe major innovative or special program accomplishments by the employe. For example: special project assignments, development seminars, or other activities for career development. Completion of this part is **optional.**

Employe developed a unique model of a systematic approach to the development of Upward Mobility programs. The model will make it much easier for agencies to plan the changes they need to make to successfully implement an Upward Mobility program.

III. **DEFICIENT PERFORMANCE**

Deficient Performance (Describe empoye's failure to overcome performance deficiencies as defined in special performance work plan(s). Completion mandatory if appraisal summary (4) or (5) Section IV is given. See instructions before completing.)

None.

IV. **APPRAISAL SUMMARY:** (Check one category and write supporting comments in space provided, if needed. Completion of this section is **mandatory**.)

1. ☒ Makes superior contribution in many areas as described:
2. ☐ Achieves performance requirements, exceeding some as described:
3. ☐ Achieves performance requirements of the position in a satisfactory manner.
4. ☐ Fails to meet performance requirements in some areas and needs major improvements as described in Section III.
5. ☐ Fails to meet performance requirements in critical areas and needs major improvements as described in Section III.

The employe's performance is above average in all areas; in particular, there were major contributions as a result of increased efficiency in the daily or regularly scheduled work, and in the development of the Upward Mobility model referred to in II above.

Ted Worker 8-20-77
EMPLOYE DATE

Employe's signature is required only to confirm the supervisor has shown and discussed this appraisal with the employe and does not indicate agreement or disagreement.

Mary Manager 8/20/77
SUPERVISOR DATE

Lew Personnel 8-21-7
REVIEWER DATE

Bill Administrator 8/23/77
APPOINTING AUTHORITY DATE

SP 44658-105